Welcome to Session 12

USAID's Approach in Fragile States

Organizer: Ann Phillips
Speakers: Tjip Walker, Melissa Brown Tuesday, September 14, 2004

Agenda

- Introductions/Overview
  - **Ann Phillips**, PPC
- Presentation
  - **Melissa Brown**, PPC/P
  - **Tjip Walker**, DHCA/OTI
- Closing Remarks
- Q&As (please hold questions 'til the end!)

Fragile States

USAID's Draft Strategy
CDIE Summer Seminar
September 14, 2004
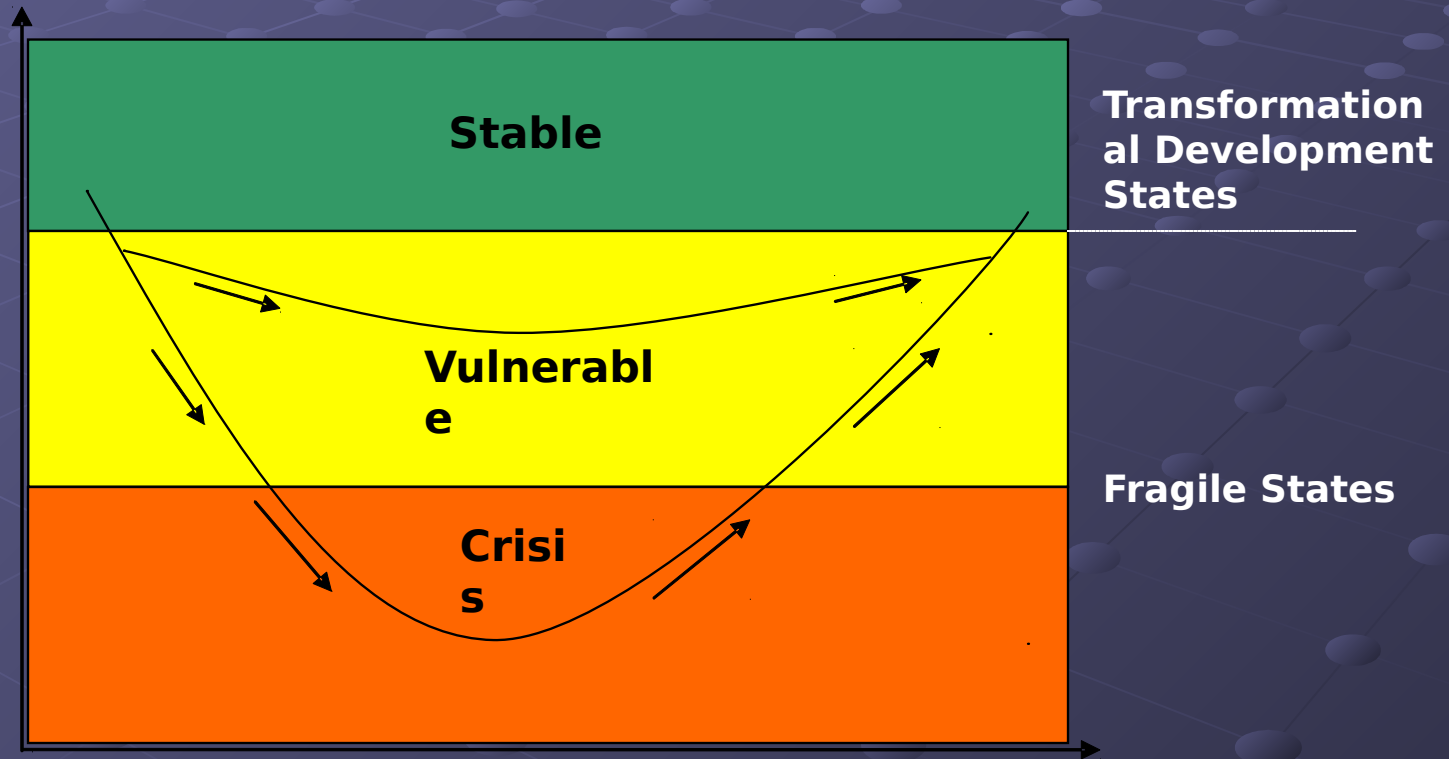
A New Strategic Vision

- Better understand the sources of fragility
- Advance early action
- Identify goals appropriate to the realities of fragile states
- Orient programs to the sources of fragility
- Remove barriers to timely and innovative response

Definitions
What is a fragile state?

- **Failing States** – growing inability to maintain security and assure provision of basic services, rapidly losing legitimacy

- **Failed States** – central government does not exert effective control over significant parts of its own territory or assure provision of vital services

- **Recovering States** – still weak but are on an upward trajectory

Fragile states: A visualization

Stable

Transformational Development States

Vulnerable

Crisis

Fragile States

Understanding Fragile States

Analyze sources of fragility

- A "Fragility Framework"
  - Central Factor: Governance
  - Core Elements: Effectiveness and Legitimacy
  - Critical Dimensions: Political, Security, Economic, Social

Understanding Fragile States
Analyzing Governance in Fragile States: "The Fragility Framework"

Sample Measures	Effectiveness	Legitimacy
Security	Military and police services that secure borders and limit crime.	Military and police services that are provided reasonably, equitably and without major violation of civil rights.
Political	Political institutions and processes that adequately ensure response to citizen needs.	Political processes, norms and leaders acceptable to the citizenry.
Economic	Economic institutions that provide for economic growth, including jobs, and adapt to economic change.	Economic institutions, financial services and income generating opportunities that are widely accessible to all.
Social	Provision of basic services that generally meet demand, including that of vulnerable and minority groups.	Tolerance of customs, cultures and beliefs.

Understanding Fragile States
Possible Warning Signs

	Effectiveness	Legitimacy
Security	More than 1% of population displaced by political violence in prior 3 years	One or more groups systematically subjected to violence or deliberately not provided security by the state
Political	Government loses effective control of at least 5% of its territory or at least 1% of its population	Major groups are systematically excluded from political access, political office, or full citizenship
Economic	Country is low or mid-income by World Bank classification, and currency has been devalued 50% or more in the last 3 years	Major groups face large-scale and systematic economic discrimination
Social	Primary school enrollment is less than 60% and growing less than 5% per year	Access of specific regions or groups to services is deliberately limited

Understanding Fragile States

- *Identify common pathways to failure and recovery*
  - To failure
    - Democratic collapse
    - Succession or reform crisis in authoritarian states
    - High levels of state sponsored corruption
    - Regional or guerilla rebellion
    - Violent ethnic conflict

Understanding Fragile States

- *Recovery considerations*
  - Factors that led to failure and those that led to turnaround
  - Nature and length of failure and degree of damage
  - Influence of neighboring countries and other international actors
  - Potentially volatile recovery issues

Strategic Programming in Fragile States

- *Strategic – Interrelated – Goals*
  - **Stability** – advancing a degree of stability and personal security sufficient to assure survival and engage in basic economic activity

  - **Reform** – addressing issues of institutional reform that will lead to increases in state effectiveness and legitimacy

  - **Capacity** – developing capacity of institutions and infrastructure fundamental to advancing lasting recovery

Strategic Programming
Illustrative Programmatic Options for Vulnerable Fragile States

- **In response to effectiveness issues**
  - foster policy development and implementation
  - improve the delivery of key social services (e.g., education, health)
  - strengthen oversight institutions
- **In response to legitimacy issues**
  - support reforms within and outside government
  - encourage private sector/NGO/political party reform alliances
  - develop the professionalism of the media

Strategic Programming
Illustrative Programmatic Options for Fragile States in Crisis

- **_In response to crisis and conflict_**
  - deliver humanitarian assistance
  - support income generation
  - advance basic security and human rights
  - increase governance and peacemaking capacity

- **_In early recovery and/or post-conflict_**
  - focus on public security and security sector reform
  - support job creation and school enrollment
  - establish the basic parameters of a functional national government

Operational Imperatives

- *Improve Understanding of Fragile States*
  - Advance early action when fragile states are vulnerable, and focused response to crisis
  - Use analysis to identify
    - sources of fragility and recovery
    - strategic and programmatic priorities
  - …and to evaluate the effectiveness of the response

Operational Imperatives

- *Implement Integrated USAID Responses*

  - Integrate analysis, strategy development and implementation perspectives

  - Adapt organizationally to achieve consistent integration

Operational Imperatives

- *Develop differentiated program responses*
  - Transformational development from fragile states
  - Vulnerable from crisis states
  - Matched by operational flexibility

Operational Imperatives

- *Exercise leadership and advance partnerships in the US Government and Donor Community*
  - Systematic monitoring and planning
  - Response strategies
  - Accelerate research

Operational Imperatives

- *Adopt a fragile states business model*
    - Strategic Planning
    - Flexible and Stable Funding
    - Responsive Procurement
    - Adaptable Field Platforms
    - Personnel
    - Reward risk-taking and innovation

Thanks for coming and filling out your evaluations

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Next Seminars: Summer 2005

For More Information...